



**Arkansas Insurance Department**

**General Data Submission Process**  
**from Carriers to RHLD**

**Version 3.0**

**Last Edited: January 8, 2019**

Version	Author	Description	Date
1.1	T Dasgupta	Initial release	6/10/2015
2.0	T Dasgupta	Added Appendix 2	1/26/2016
2.1	T Dasgupta	Added "Before you start" section and FileZilla version recommendation	4/20/2017
3.0	T Dasgupta	Movement from FTPS to SFTP and change in naming convention	1/8/2019

## Overview

This document is to communicate the general data submission process by health and dental carriers to the Regulatory Health Link Division (RHLN) of Arkansas Insurance Department (AID). There are multiple ways you may be required to submit data to Arkansas Insurance Department. This is the default file naming convention and data submission process ***unless detailed otherwise in separate file specification documents or other communications.***

AID's secure FTP site would receive the data. Carriers will not be able to see any files they submit or files submitted by other carriers.

This document does not describe any data formatting details required on the data submissions.

## Intended Audience

This document is intended for technical staff familiar with some of the basics of transmitting data using data transmission tools such as FileZilla. If after reading through this document completely, the technical staff still needs help, he or she may contact AID's Information Help Desk at 501-371-2657 or email [insurance.information.systems@arkansas.gov](mailto:insurance.information.systems@arkansas.gov)

## Before you start

It is common for organizations to implement restrictive out-bound data transfer policies and/or network configurations due to security, privacy or confidentiality concerns. Restrictive network configurations include (but not limited to) firewall port restrictions and/or use of only one type of protocol (for example, use of only ***ftps*** encryption protocol as opposed to the ***sftp*** as expected in this document). Also, your organization may have a policy of authorizing only one group to send data files outside your organization. Please find out if such policies have been implemented in your organization (usually an organization's network security personnel can answer this question for you). If restrictions exist, you may need to share this document and the files to be transferred to the group authorized to transfer files on your behalf, or seek alternative processes authorized in your organization.

## File Naming Convention

1. Name the file appropriately using the following File Naming Convention **unless specified otherwise in some other AID document (This naming convention only applies if naming convention was not specified elsewhere by AID)**
  - a. GRNL\_<NAIC Company Code>\_<Date of submission in YYYYMMDD format>\_any short descriptive name by carrier>
  - b. For example a HEDIS data submission for Plan Year 2014 by Arkansas BlueCross BlueShield on July 15, 2015 in csv format may be "GRNL\_83470\_20150715\_2014 HEDIS Data.csv"

## SFTP

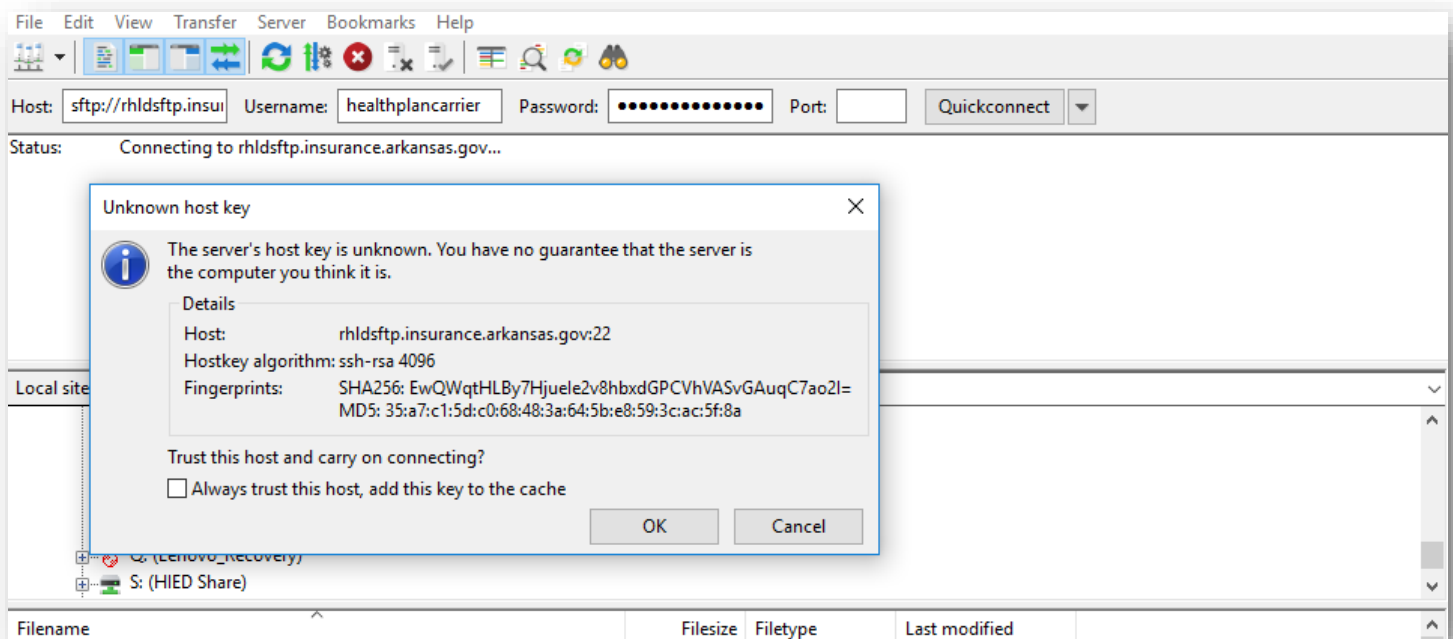
This document has been tested using the open source FTP tool called FileZilla on the Windows platform. AID has tested with FileZilla Version 3.39 and if the data submitter chooses to use FileZilla, AID recommends using a version that is not older than Version 3.39. The data submitter is not restricted from using any other tool with similar features or using native scripting. FileZilla client can be downloaded and installed for free from <https://filezilla-project.org/>. The usage and expected behavior of FileZilla while successfully transmitting a file to Arkansas Insurance Department is shown in Appendix 1.

## Implementation details using SFTP

AID's Regulatory Health Link Division is phasing out the FTPS protocol specified in earlier years and adopting SFTP in its place. The required parameters for the SFTP protocol are the following:

1. Submit the file to AID's FTP Server using the following details:
  - a. Host Address: `rhldsftp.insurance.arkansas.gov`
  - b. Port: 22
  - c. Protocol: SFTP
  - d. Userid: `healthplancarrier`
  - e. Password: `healthplancarrier`

If you use a tool like FileZilla, expect to see the "Unknown host key" message as shown in below when logging in the first time.

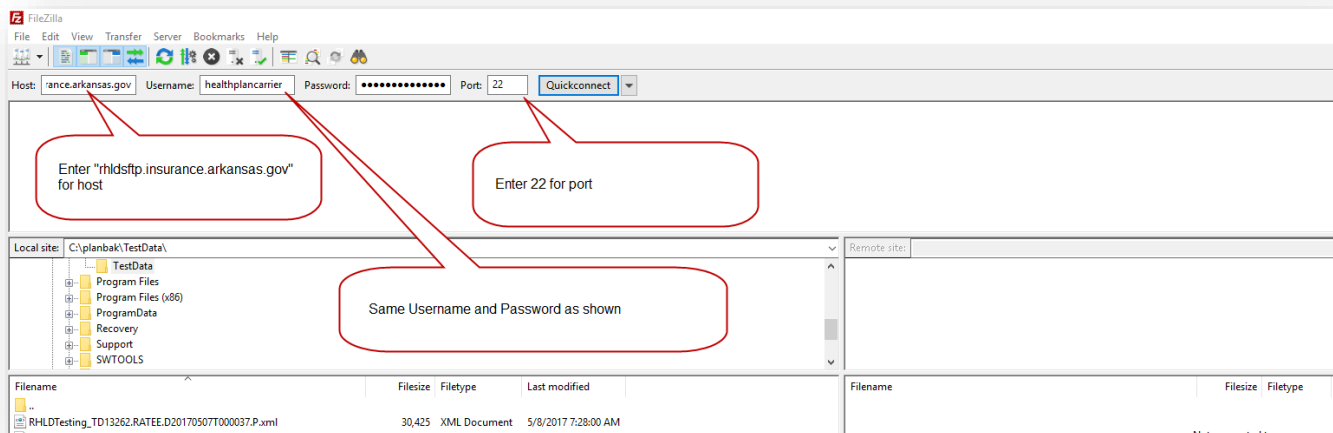


2. Send an email to [RHLD.DataOversight@Arkansas.gov](mailto:RHLD.DataOversight@Arkansas.gov) with the subject line being "DATA SUBMITTED ON SECURE FTP SERVER" with a very brief description (or names) of the files sent. This step would help AID determine if there was a failure in FTP transmission in case the carrier did not catch the error messages.

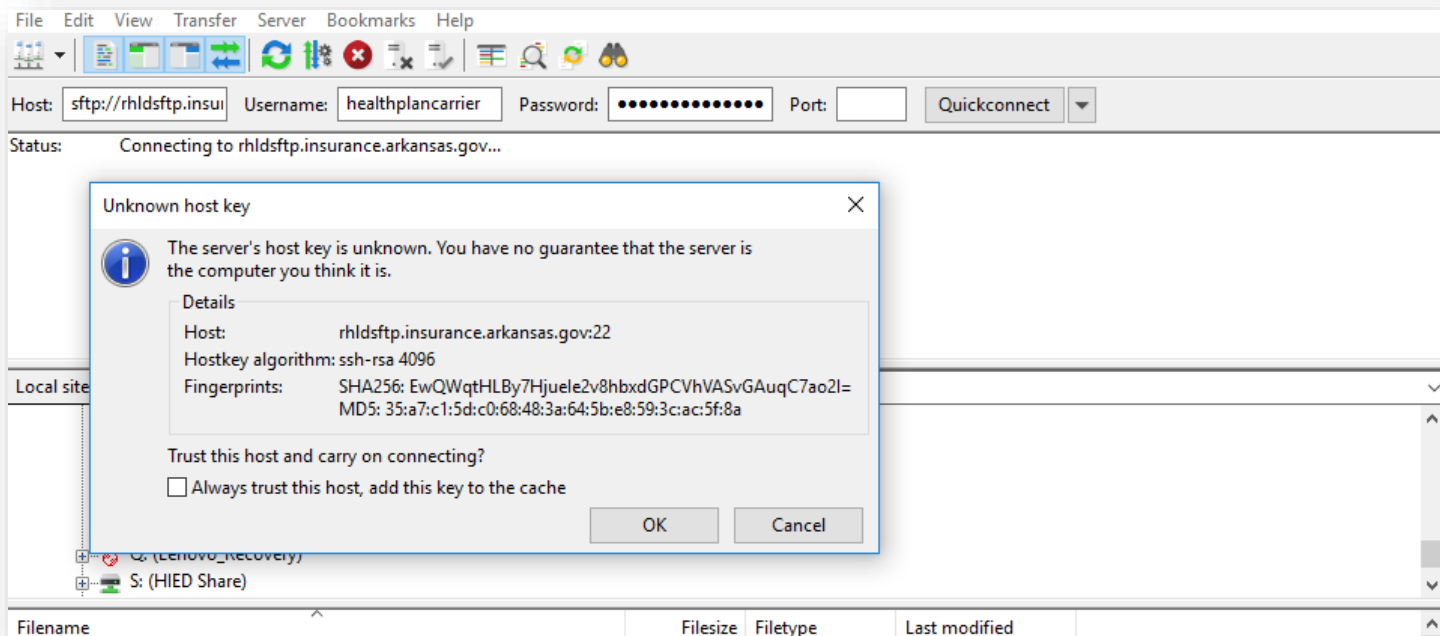
# Appendix 1

FileZilla is the tool AID has used as an example in this document. The steps and observed behavior in a successful data transmittal is provided below.

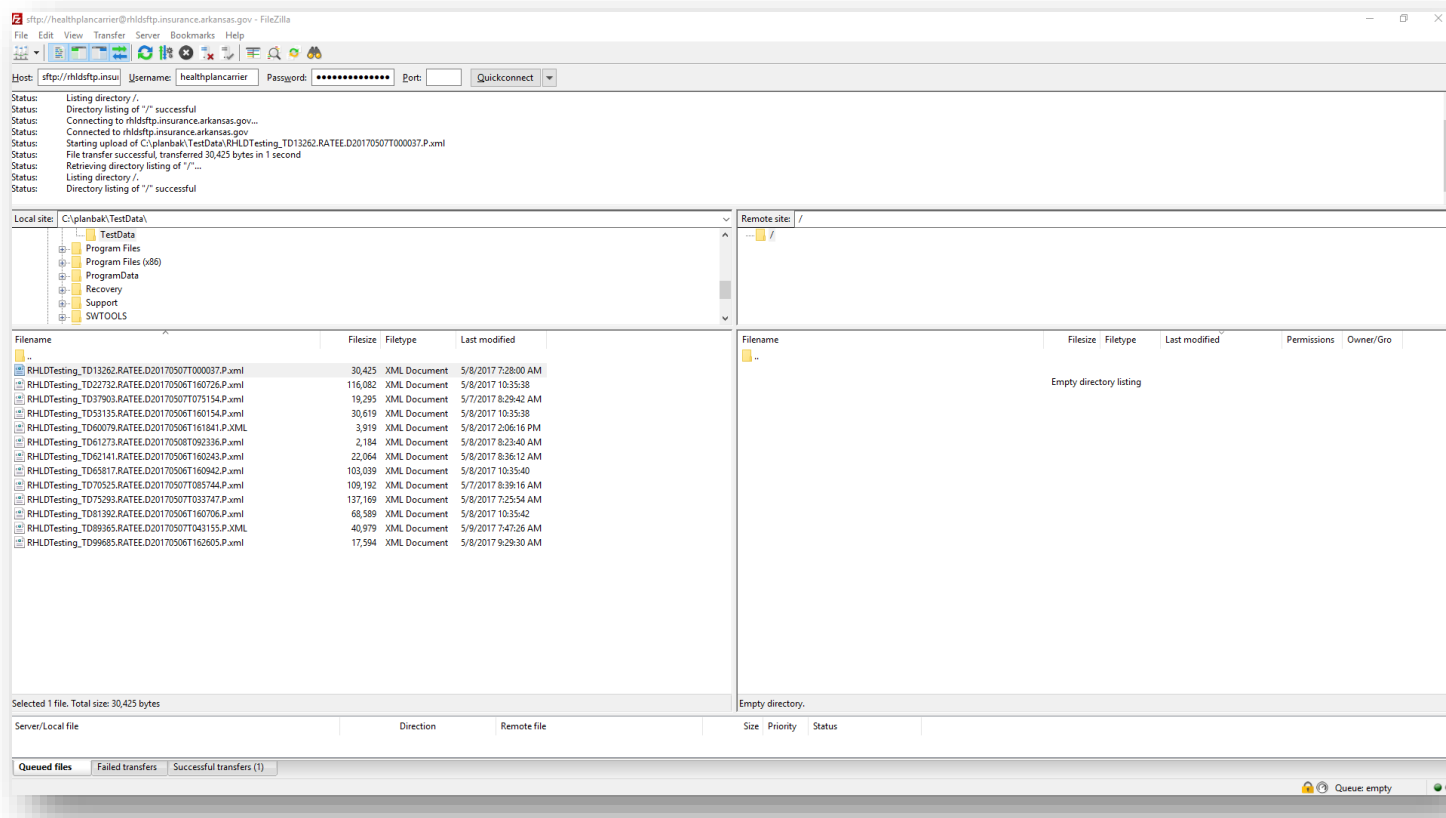
**Figure 1: Enter host address, userid and password after invoking FileZilla**



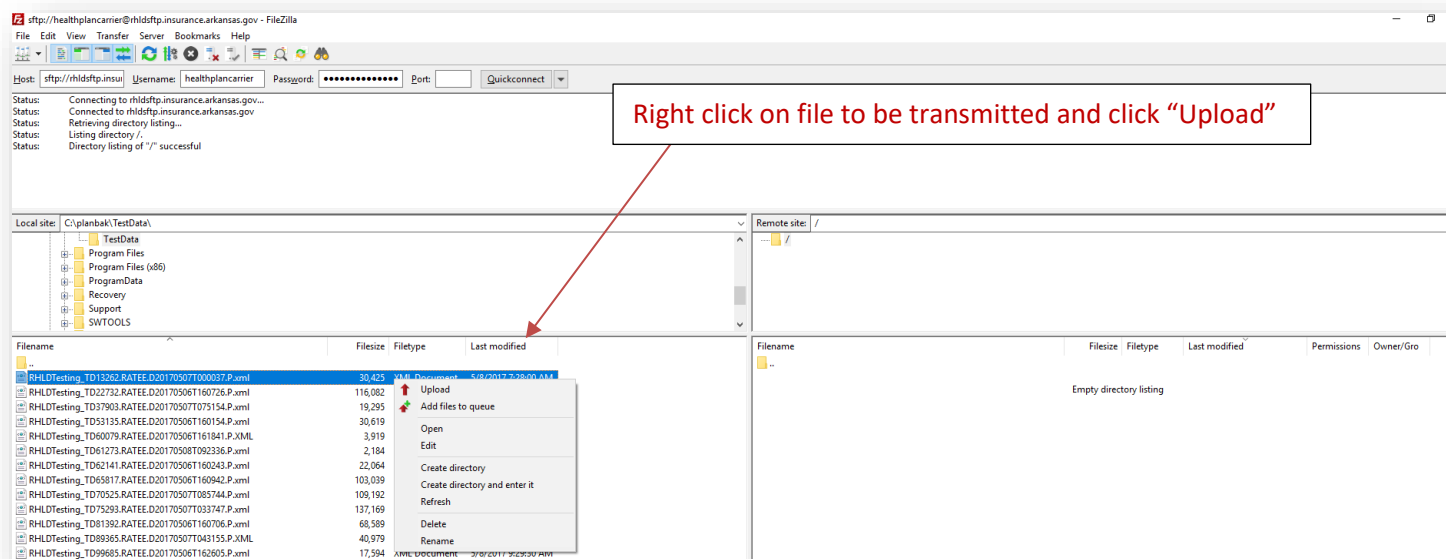
**Figure 2: Expected behavior after clicking "Quickconnect" if connecting for the first time**



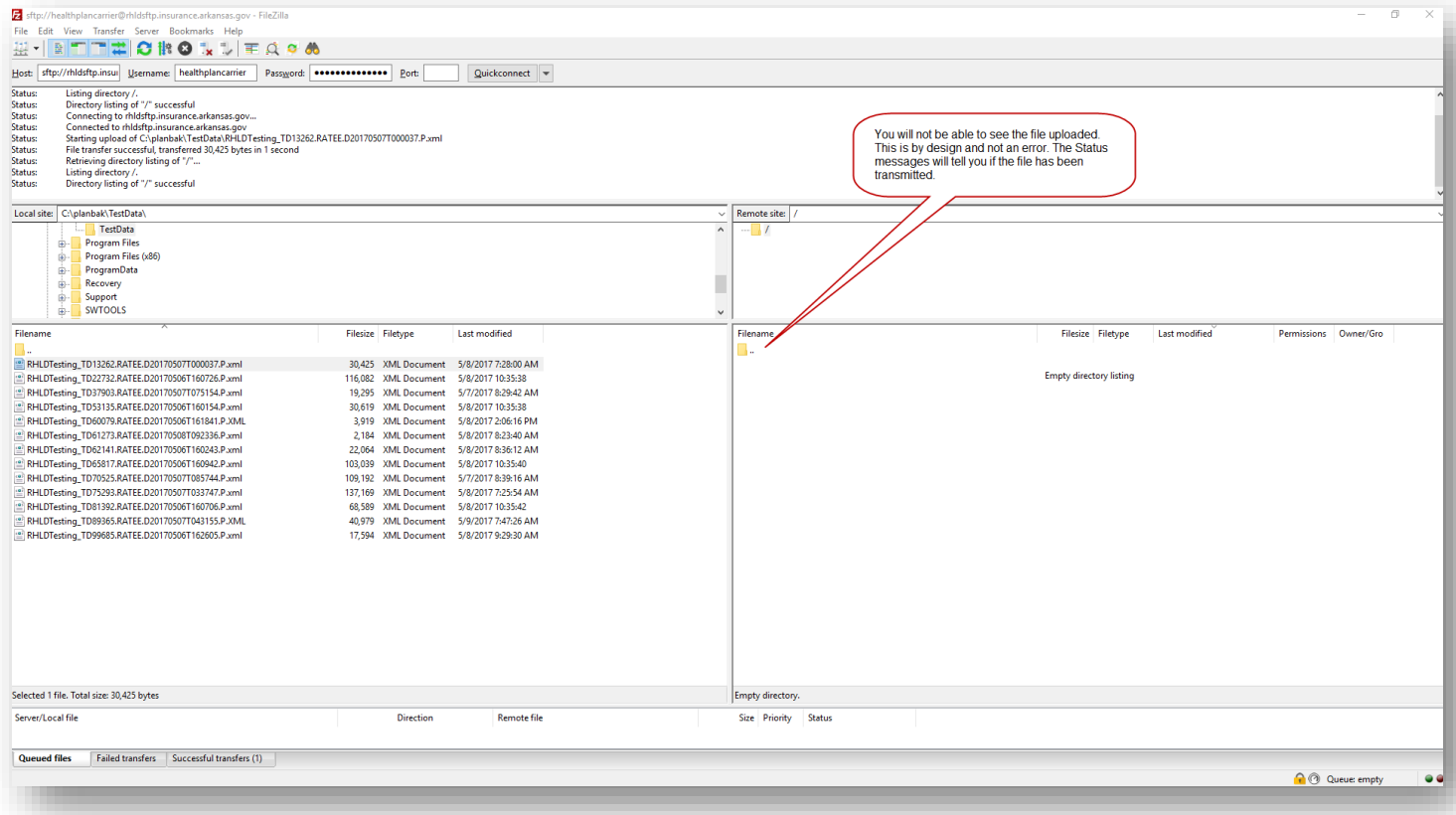
**Figure 3: Expected behavior after clicking “Quickconnect” if key has been cached in earlier connections –OR– clicking “OK” on the earlier screen.**



**Figure 4: Action needed to transmit a data file**



**Figure 5: Expected behavior after the file has been uploaded**



# Appendix II

## Obsolete Protocol Process

**Submission of data to RHL D using FTPS is being phased out and would be unavailable in the future.** This information is provided in case of transitional difficulty by any carrier in implementing SFTP. When using the FTPS protocol the following were the parameters required:

- a. Host Address: webftp.insurance.arkansas.gov
- b. Port: 1200
- c. Protocol: FTP
- d. Encryption: Explicit FTP over TLS
- e. Mode: Passive
- f. Userid:healthplancarrier
- g. Password:healthplancarrier

AID used self-signed SSL certificates for this FTPS site. If you use a tool like FileZilla, expect to see the “Unknown certificate” message as shown below.

